

01-28-02

PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. TNT-100US

First Inventor Aaron Bond

Title METHOD OF FABRICATING A MONOLITHIC EXPANDED BEAM  
MODE ELECTROABSORPTION MODULATOR

Express Mail Label No. EL 743 541 299 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 28]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 17]
5. Oath or Declaration [Total Pages 3]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
  - c. ☐ Unexecuted Declaration
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATIONS PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Check  
Certificate of Express Mail

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: \_\_\_\_\_ /

Prior application information Examiner \_\_\_\_\_

Group / Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

(Insert Customer No. 23122 or Attach Bar Code Label here)

or ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Lowell L. Carson

Registration No. (Attorney/Agent)

48,548

Signature

Date

January 25, 2002


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FEE TRANSMITTAL for FY 2001		Complete if Known		
		Application Number	To Be Assigned	
Patent fees are subject to annual revision.		Filing Date	Herewith	
		First Named Inventor	Aaron Bond et al.	
		Examiner Name		
		Group / Art Unit		
TOTAL AMOUNT OF PAYMENT	(\$)	578	Attorney Docket No.	TNT-100US

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)	
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:		3. ADDITIONAL FEES	
Deposit Account Number	18-0350	Fee Code	Fee (\$)
Deposit Account Name	Ratner & Prestia	Large Entity	Small Entity
<input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17		105	130
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		127	50
2. <input checked="" type="checkbox"/> Payment Enclosed:		205	65
<input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other		227	25
FEE CALCULATION		139	130
1. BASIC FILING FEE		147	2,520
Large Entity	Small Entity	112	920*
Fee Code	Fee (\$)	113	1,840*
101	740	115	110
106	330	116	400
107	510	117	920
108	740	118	1,440
114	160	128	1,960
SUBTOTAL (1)		119	320
(\$) 370		120	320
2. EXTRA CLAIM FEES		121	280
Total Claims	14	138	1,510
Independent Claims	7	140	110
Multiple Dependent		141	1,280
Extra Claims		142	1,280
Fee from below		143	460
Fee Paid		144	620
0		122	130
4		123	150
0		126	180
Large Entity		581	40
Small Entity	Small Entity	146	740
Fee Code	Fee (\$)	149	740
103	18	179	740
102	84	169	900
104	280	Other fee (specify) _____	
109	84	*Reduced by Basic Filing Fee Paid	
110	18	SUBTOTAL (3)	
SUBTOTAL (2)		(\$)	
(\$)		40	
SUBTOTAL (2)		(\$)	
(\$)		40	

\*\*or number previously paid, if greater; For Reissues, see above

SUBMITTED BY		Complete (if applicable)			
Name (Print/Type)	Lowell L. Carson	Registration No. Attorney/Agent)	48,548	Telephone	610-407-0700
Signature		Date	January 25, 2002		

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**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Aaron Bond et al.

Docket No.

TNT-100US

Serial No.

Filing Date

Examiner

Group Art Unit

To Be Assigned

Herewith

Invention: METHOD OF FABRICATING A MONOLITHIC EXPANDED BEAM MODE  
ELECTROABSORPTION MODULATOR

I hereby certify that the following correspondence:

Utility Trans. (1); Fee Trans. (1); Spec. (28 pgs.); Drawings (17 sheets); Decl/POA (3 pgs.); 1595;  
Assignment (2 pgs.); IDS (2 pgs.); 1449; Copies of cited references; Check; Postcard

*(Identify type of correspondence)*

Is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37  
CFR 1.10 in an envelope addressed to:

The Assistant Commissioner for Patents, Washington, D.C. 20231 on January 25, 2002

Kathleen Libby

*(Typed or Printed Name of Person Mailing Correspondence)*

  
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EL 743 541 299 US

*("Express Mail" Mailing Label Number)*

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